PATENT

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APR 0 4 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Art Unit 2756

Group 2700

In re application of:

Helland et al.

Application No.: 09/425102

Filed: October 22, 1999

For: SOFTWARE COMPONENT
EXECUTION MANAGEMENT USING
CONTEXT OBJECTS FOR TRACKING
EXTERNALLY-DEFINED INTRINSIC
PROPERTIES OF EXECUTING
SOFTWARE COMPONENTS WITHIN
AN EXECUTION ENVIRONMENT

Examiner: Not yet assigned

Date: March 29, 2000

INFORMATION DISCLOSURE STATEMENT

TO THE ASSISTANT DIRECTOR FOR PATENTS
Washington, DC 20231

Sir:

Applicants submit herewith information of which they are aware, and which they
believe may be material to the examination of the application and in respect of which there
may be a duty to disclose in accordance with 37 C.F.R. §1.56. The information is listed on
the attached Form PTO-1449.

The present application relies upon U.S. Patent Application No. 08/958,974,
which was filed October 28, 1997, for an earlier filing date under 35 U.S.C. § 120.
Furthermore, some of the documents listed on the accompanying PTO-1449 Form were
disclosed to or cited by the Patent Office in the earlier U.S. application. As a result, copies of
some of the documents cited on the accompanying form PTO-1449 Form need not be sent to
the Patent Office pursuant to 37 C.F.R. § 1.98(d). However, applicants will furnish the
Patent Office with such copies upon request.

- 1 -

Applicants call the Examiner's attention to the following co-pending U.S. patent applications, which are commonly assigned as the above-referenced patent application.

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Group 2700

Application No. 08/825,647
  For: CONCURRENCY CONTROL OF STATE MACHINES IN A
         COMPUTER SYSTEM USING CLIQUES
  Applicants: Helland et al.

Application No. 08/959,139
  For: JUST-IN-TIME ACTIVATION AS-SOON-AS-POSSIBLE
DEACTIVATION OF SERVER APPLICATION COMPONENTS
  Applicants: Helland et al.

Application No. 08/959,149
  For: SERVER APPLICATION COMPONENTS WITH CONTROL OVER
STATE DURATION
  Applicants: Helland et al.

Application No. 08/958,975
  For: MULTI-USER SERVER APPLICATION ARCHITECTURE WITH
SINGLE-USER OBJECT TIER
  Applicants: Helland et al.

Application No. 09/114,230
  For: COMPENSATING RESOURCE MANAGERS IN OLE
  Applicants: Helland et al.

Application No. 09/225,896
  For: TRANSACTION PROCESSIGN OF DISTRIBUTED OBJECTS WITH
DECLARATIVE TRANSACTIONAL ATTRIBUTES
  Applicants: Helland et al.

Application No. 09/351,374
  For: DISABLING AND ENABLING TRANSACTION COMMITAL IN
TRANSACTIONAL APPLICATION COMPONENTS
  Applicants: Helland et al.

In view of the secrecy provisions of 37 C.F.R. §1.14, Applicants have not provided a copy of the above-referenced co-pending U.S. patent applications because submitting a copy of these patent applications could be viewed as a waiver of the confidentiality that the Applicants are guaranteed under 35 U.S.C. § 122 and 37 C.F.R. § 1.14. Applicants have not listed these co-pending applications on the accompanying 1449 form and request that they not be listed on the face of the patent, in the event that it issues, to preserve their secrecy.

If a fee is required under 37 C.F.R. §1.17(p), the Commissioner is hereby authorized to charge Deposit Account No. 02-4550.
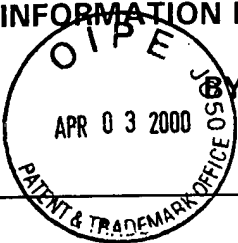
Respectfully submitted,

KLARQUIST SPARKMAN CAMPBELL
LEIGH & WHINSTON, LLP

By _____
    Stephen A. Wight
    Registration No. 37759

One World Trade Center, Suite 1600
121 S.W. Salmon Street
Portland, Oregon 97204
Telephone: (503) 226-7391
Facsimile (503) 228-9446
cc: Patent Group Docketing Dept. (75805.2)
       KS Paralegal

SAW:mlt 3/27/00 3382-48511

INFORMATION DISCLOSURE STATEMENT	Docket: 3382-48511		App: 09/425,102

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Docket: 3382-48511	App: 09/425,102
Applicant: Helland et al.	
Filed: October 22, 1999	Art Unit: 2756

U.S. PATENT DOCUMENTS

Init.*		Number	Date	Name	Class	Sub.	Filed
		5,884,316	3/16/99	Bernstein et al.			
		4,752,928	6/21/88	Chapman et al.			
		5,706,429	1/6/98	Lai et al.			
		5,822,585	10/13/98	Noble et al.			
		5,884,327	3/16/99	Cotner et al.			
		5,875,291	2/23/99	Fox			
		5,781,910	7/14/98	Gostanian et al.			
		5,561,797	10/1/96	Gilles et al.			
		5,577,252	11/19/96	Nelson et al.			
		5,941,947	8/1999	Brown et al.			
		5,815,665	9/1998	Teper et al.			
		5,864,683	1/1999	Boebert et al.			
		5,881,225	3/1999	Worth			
		5,717,439	2/1998	Levine et al.			
		5,455,953	10/1995	Russell			
		5,778,365	7/1998	Nishiyama			
		5,524,238	6/1996	Miller et al.			

EXAMINER:	DATE

*Examiner: Initial if considered, whether or not in conformance with MPEP 60; draw line through cite if not in conformance and not considered. Send copy.

SAW:mlt 3/27/00 3382-48511

INFORMATION DISCLOSURE STATEMENT	Docket: 3382-48511		App: 09/425,102
BY APPLICANT	Applicant: Helland et al.		RECEIVED
	Filed: October 22, 1999	Art Unit: 2756	APR 0 4 2000

OIPE stamp: APR 0 3 2000 PATENT & TRADEMARK OFFICE 05

U.S. PATENT DOCUMENTS

Group 2700

Init. *		Number	Date	Name	Class	Sub	Filed
		5,838,916	11/17/98	Domenikos et al.			
		5,832,274	11/3/98	Cutler et al.			
		5,689,708	11/18/97	Regnier et al.			
		5,822,435	10/13/98	Boebert et al.			
		5,481,715	1/2/96	Hamilton et al.			

EXAMINER:	DATE

*Examiner: Initial if considered, whether or not in conformance with MPEP 60;
draw line through cite if not in conformance and not considered. Send copy.

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<table>
<tr><td colspan="2" rowspan="3">INFORMATION DISCLOSURE STATEMENT

BY APPLICANT

(OIPE stamp: APR 0 3 2000)</td><td>Docket: 3382-48511</td><td>App: 09/425,102</td></tr>
<tr><td>Applicant: Helland et al.</td><td rowspan="2">RECEIVED
Art Unit 2756
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Group 2700</td></tr>
<tr><td>Filed: October 22, 1999</td></tr>
<tr><td colspan="4" align="center">OTHER DOCUMENTS</td></tr>
<tr><td></td><td></td><td></td><td>Barkley, "Role Based Access Control (RBAC)," Software Diagnostics and Conformance Testing National Institute of Standards and Technology (March 1998)</td></tr>
<tr><td></td><td></td><td></td><td>Gavrila and Barkley, "Formal Specification for Role Based Access Control User/Role and Role/Role Relationship Management," (October 1998)</td></tr>
<tr><td></td><td></td><td></td><td>Barkley, "Application Engineering in Health Care," pages 1-7 (May 9, 1995)</td></tr>
<tr><td></td><td></td><td></td><td>Cugini and Ferraiolo, "Role Based Access Control Slide Set – May 1995," National Institute of Standards and Technology (1995)</td></tr>
<tr><td></td><td></td><td></td><td>Smith, Sr. et al., "A Marketing Survey of Civil Federal Government Organizations to Determine the Need for a Role-Based Access Control (RBAC) Security Product," Seta Corporation (July 1996)</td></tr>
<tr><td></td><td></td><td></td><td>Ferraiolo and Barkley, "Specifying and Managing Role-Based Access Control within a Corporate Intranet," (1997)</td></tr>
<tr><td></td><td></td><td></td><td>Ferraiolo et al., "Role-Based Access Control (RBAC): Features and Motivations," (1995)</td></tr>
<tr><td></td><td></td><td></td><td>Kuhn, "Mutual Exclusion of Roles as a Means of Implementing Separation of Duty in Role-Based Access Control Systems," (1997)</td></tr>
<tr><td></td><td></td><td></td><td>Barkley, "Comparing Simple Role Based Access Control Models and Access Control Lists," (1997)</td></tr>
<tr><td colspan="2">EXAMINER:</td><td colspan="2">DATE</td></tr>
<tr><td colspan="4">*Examiner: Initial if considered, whether or not in conformance with MPEP 60; draw line through cite if not in conformance and not considered. Send copy.</td></tr>
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Docket: 3382-48511	App: 09/425,102
Applicant: Helland et al.	
Filed: October 22, 1999	Art Unit: 2756

OTHER DOCUMENTS

			Barkley et al., "Role Based Access Control for the World Wide Web," (1997)
			Ferraiolo and Kuhn, "Role-Based Access Control," Reprinted from Proceedings of 15th National Computer Security Conference (1992)
			Barkley, "Implementing Role Based Access Control using Object Technology," (1995)
			Tucker (editor, "The Computer Science and Engineering Handbook," chapter 49, pages 1112-1124 and chapter 91, pages 1929-1948 (1996)
			Orfali, Harkey, Edwards, "Client/Server Transaction Processing," *Client/Server Survival Guide*, pages 241-288 (1994)
			Franklin, "Concurrency Control and Recovery," *The Computer Science and Engineering Handbook,* pages 1058-1077 (1997)

EXAMINER:	DATE

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